

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF MASSACHUSETTS

_____)	
)	
UNITED STATES OF AMERICA)	
)	
v.)	No. 16-cr-10094-LTS
)	
ROSS MCLELLAN,)	
Defendant)	
_____)	

DEFENDANT ROSS MCLELLAN'S EXHIBIT LIST

Defendant, Ross McLellan, by and through undersigned counsel, hereby respectfully submits the following list of potential defense exhibits to the Court in advance of the June 4, 2018 trial. The defendant reserves his right to supplement this list and/or to introduce documents or audios during his cross-examination of Government witnesses.

Respectfully Submitted,
Ross McLellan
By His Attorneys,

/s/ Martin G. Weinberg
Martin G. Weinberg
Mass. Bar No. 519480
20 Park Plaza, Suite 1000
Boston, MA 02116
(617) 227-3700
owlmgw@att.net

/s/ Robert M. Goldstein
Robert M. Goldstein
20 Park Plaza, Suite 1000
Boston, MA 02116
(617) 742-9015
rmg@goldstein-lawfirm.com

Dated: May 31, 2018

CERTIFICATE OF SERVICE

I, Martin G. Weinberg, hereby certify that on this date, May 31, 2018, a copy of the foregoing document has been served, via ECF, upon Assistant U.S. Attorney Stephen E. Frank and U.S. Department of Justice Trial Attorney William Johnston.

/s/ Martin G. Weinberg
Martin G. Weinberg

CASE NAME: UNITED STATES OF AMERICA V. ROSS MCLELLAN									AS OF: May 29, 2018	
CRIMINAL CASE NO. 16-10094-LTS										
DEFENSE'S EXHIBIT LIST										
Exhibit Offered By:	Exhibit No.	Marked [Yes/No]	Admitted [Yes/No]	BegDoc	EndDoc	Doc Type	Date	To	From	Date Admitted
Defense	300			SS2_000000071 SS2_000000072 SS2_000000090	SS2_000000071 SS2_000000089 SS2_000000104	Email & Attachment	5/1/11	Simone Paul, Jonathan Norris	Sarah Lewis	
Defense	301			RM-000001	RM-000004	File	N/A			
Defense	302			RM-000005	RM-000008	File	N/A			
Defense	303			SS2_00000066	SS2_00000068	Email	9/30/11	Carol L'Heveder, Jonathan Norris	Sarah Lewis	
Defense	304			SS2_00000034	SS2_00000040	File	4/11/11			
Defense	305			SS1_00088738	SS1_00088743	Email	6/22/12	Dominic Graham, Paul Fraser, Abigail Greenway	Michael Gregson	
Defense	306			SS1_01342767	SS1_01342767	Email	8/26/11	Robin Oliver, Marshall Bailey, Jonathan Norris	Mark Leaden	
Defense	307			SS1_00810416	SS1_00810416	Email	8/26/11	Mark Hansen	Ross McLellan	
Defense	308			SS1_00584563	SS1_00584563	Email	3/16/11	Ross McLellan	Chris Carlin	
Defense	309			SS1_01215715	SS1_01215716	Email	9/5/11	Ross McLellan	Bryan Woodard	
Defense	310			SS1_01215709	SS1_01215711	Email	9/5/11	Ross McLellan	Bryan Woodard	
Defense	311			SS2_00000225	SS2_00000226	Email	11/3/10	David Puth	Ross McLellan	
Defense	312			SS2_00000002	SS2_00000003	Email	11/2/10	Mark Hansen	Anthony Scully	
Defense	313			SS2_00000127	SS2_00000127	Email	11/3/10	Simone Paul	Sarah Lewis	
Defense	314			SS2_00000227	SS2_00000227	Email	11/3/10	Mark Hansen	Ross McLellan	
Defense	315			SS2_00000229	SS2_00000230	Email	11/3/10	Ross McLellan	Mark Hansen	
Defense	316			SS2_00000260	SS2_00000262	Email	11/3/10	Bryan Woodard	Melissa Mckay	
Defense	317			SS1_00636326	SS1_00636330	Email	11/3/10	Ross McLellan, Vincent Manzi et al.	Mark Hansen	
Defense	318			SS1_00448645	SS1_00448645	Email	1/5/10	Nick Bonn	Ross McLellan	
Defense	319			SS1_00300269	SS1_00300270	Email	10/20/10	Ross McLellan, David Puth	Karen Keenan	
Defense	320			SS1_00957546	SS1_00957546	Email	10/21/10	Ross McLellan	Karen Keenan	
Defense	321			SS1_00958789	SS1_00958790	Email	11/2/10	Ross McLellan	Karen Keenan	
Defense	322			SS1_00230295	SS1_00230295	Email	3/23/11	Ross McLellan	Edward Pennings	
Defense	323			SS1_01136600	SS1_01136600	Email	3/22/11	Ross McLellan	Karen Keenan	
Defense	324			SS1_00628575	SS1_00628576	Email	12/22/10	Karen Keenan, David Puth et al.	Ross McLellan	
Defense	325			SS1_00627649	SS1_00627650	Email	12/22/10	Karen Keenan, David Puth et al.	Ross McLellan	
Defense	326			SS1_00873565	SS1_00873565	Email	1/28/11	Karen Keenan	Ross McLellan	
Defense	327			SS1_00758288	SS1_00758288	Email	4/13/11	Karen Keenan	Ross McLellan	
Defense	328			SS1_01217587	SS1_01217587	Email	9/27/11	Nick Bonn	Ross McLellan	
Defense	329			SS1_01326547			12/24/10			
Defense	330			SS1_00599299	SS1_00599300	Email	5/12/10	Ross McLellan, Vincent Manzi, Chris Carlin et al.	Melissa Mckay	
Defense	331			SS2_00000213	SS2_00000213	Email	11/2/10	Ross McLellan	Melissa Mckay	
Defense	332			SS2_00000113	SS2_00000113	Email	11/2/10	Melissa Mckay, Krystyna Beck	Simone Paul	

Defense	333			RM-000009	RM-000009	File	N/A			
Defense	334			SS1_01325500	SS1_01325500	Audio	3/10/10			
Defense	335			RM-000023	RM-000023	File	N/A			
Defense	336			RM-000024	RM-000024	File	5/22/12			
Defense	337			SS1_01332509	SS1_01332509	Audio	6/17/11			
Defense	338			SS1_00669672	SS1_00669672	Email	6/14/11	Ross McLellan, Chris Carlin, Catherine Norcott, Tom Bryant	Sheila Gardiner	
Defense	339			SS1_00195862	SS1_00195862	Email	6/28/10	Ross McLellan, Edward Pennings	Stephen Smit	
Defense	340			SS1_01327455	SS1_01327455	Audio	10/7/10			
Defense	341			SS1_01329728	SS1_01329728	Audio	7/5/11			
Defense	342			USDOJ-SS-01047	USDOJ-SS-01049	File	N/A			
Defense	343			SS1_00962771	SS1_00962772	Email	8/18/10	Ross McLellan	Ian Holden	
Defense	344			SS1_01325856	SS1_01325856	Audio	3/30/11			
Defense	345			SS1_00167322	SS1_00167323	Email	3/17/10	Ross McLellan, Chris Carlin	Edward Pennings	
Defense	346			SS1_01332328	SS1_01332328	Audio	4/6/11			
Defense	347			SS1_00356611	SS1_00356611	Email	6/2/10	Stephen Smit	Edward Pennings	
Defense	348			SS1_01218660	SS1_01218660	Email	8/26/11	Edward Pennings, Rick Boomgaardt	Ross McLellan	
Defense	349			SS1_01342055	SS1_01342055	Audio	9/6/11			
Defense	350			SS1_00810227	SS1_00810227	Email	8/26/11	Ross McLellan	Rick Boomgaardt	
Defense	351			SS1_00668153	SS1_00668156	Email	1/20/11	Ross McLellan, Edward Pennings, Simone Paul, Melissa McKay	Bryan Woodard	
Defense	352			SS1_00811246	SS1_00811246	Email	8/26/11	Mark Hansen	Ross McLellan	
Defense	353			SS1_00638568	SS1_00638571	Email	11/3/10	Ross McLellan, Stephen Smit, Bryan Woodard et al.	David Puth	
Defense	354			SS1_00625059	SS1_00625061	Email	2/9/11	Ross McLellan, Bryan Woodard, Orla Beirne	Chris Carlin	
Defense	355			RM-000026	RM-000040	File	N/A			
Defense	356			SS1_01326122	SS1_01326122	Audio	4/28/10			
Defense	357			SS1_01326055	SS1_01326055	Audio	6/11/10			
Defense	358			SS1_01327096	SS1_01327096	Audio	7/6/10			
Defense	359			SS1_01325643	SS1_01325643	Audio	8/4/10			
Defense	360			SS1_01332924	SS1_01332924	Audio	3/4/11			
Defense	3361			SS1_01325536	SS1_01325536	Audio	6/29/11			
Defense	362			SS1_01342027	SS1_01342027	Audio	8/30/11			
Defense	363			SS1_01329979	SS1_01329979	Audio	9/8/11			
Defense	364			SS1_01325321	SS1_01325321	Audio	2/26/10			
Defense	365			SS1_00702787	SS1_00702789	Email	6/29/10	Tom Bryant	Ross McLellan	
Defense	366			SS1_00702790	SS1_00702792	Email	6/29/10	Justin Balogh	Ross McLellan	
Defense	367			SS1_00702793	SS1_00702795	Email	6/29/10	Justin Balogh	Ross McLellan	
Defense	368			Conference Call Note		File	3/11/11			
Defense	369			AXAStateStreetEmail00060	AXAStateStreetEmail00099	Email Attachment	2/24/11			
Defense	370			AXAStateStreetEmail15127	AXAStateStreetEmail15133	Email Attachment	N/A			
Defense	371			AXAStateStreetEmail15134	AXAStateStreetEmail15140	Email Attachment	N/A			
Defense	372			AXAStateStreetEmail15141	AXAStateStreetEmail15147	Email Attachment	N/A			
Defense	373			RE Austen Summary	RE Austen Summary	Email	3/11/11	Andrew Williams, Helen Baldock	Ben Gunnee	

Defense	374			RE Project Austen	RE Austen Summary	Email	4/21/11	Rick Boomgaardt, Edward Pennings et al.	Anita Butler	
Defense	375			RE Post Transition Comments	RE Post Transition Comments	Email	6/13/11	Brian Griffin, Anita Butler et al.	Ciaran Naughton	
Defense	376			SS1_00156901	SS1_00156901	File	N/A			
Defense	377			SS1_00154709	SS1_00154709	File	N/A			
Defense	378			SS1_00352743	SS1_00352743	File	N/A			
Defense	379			SS1_00356374	SS1_00356374	File	N/A			
Defense	380			SS1_00358420	SS1_00358420	File	N/A			
Defense	381			SS1_00641399	SS1_00641399	File	N/A			
Defense	382			SS1_00642997	SS1_00642997	File	N/A			
Defense	383			SS1_00644300	SS1_00644300	File	N/A			
Defense	384			SS1_01347166	SS1_01347166	File	N/A			
Defense	385			SS1_00651465	SS1_00651465	File	N/A			
Defense	386			SS1_00638567	SS1_00638567	File	N/A			
Defense	387			SS1_00627918	SS1_00627918	File	N/A			
Defense	388			SS1_00331476	SS1_00331476	File	N/A			
Defense	389			SS1_00331493	SS1_00331493	File	N/A			
Defense	390			SS1_00123105	SS1_00123105	File	N/A			
Defense	391			SS1_00223217	SS1_00223217	File	N/A			
Defense	392			SS1_01176319	SS1_01176319	File	N/A			
Defense	393			SS1_00128930	SS1_00128930	Email	6/1/2011	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	394			SS1_01182151	SS1_01182151	File	N/A			
Defense	395			SS1_01205436	SS1_01205436	File	N/A			
Defense	396			SS1_01207573	SS1_01207573	File	N/A			
Defense	397			SS1_01216777	SS1_01216777	File	N/A			
Defense	398			SS1_01347747	SS1_01347747	File	N/A			
Defense	399			SS_SEC_MCL000002406	SS_SEC_MCL000004854	File	N/A			
Defense	400			SS_SEC_MCL000005278	SS_SEC_MCL000006217	File	N/A			
Defense	401			RM-000041	RM-000042	File	N/A			
Defense	402			SS1_01347988	SS1_01347988	File	N/A			
Defense	403			SS3_000046126	SS3_000046126	File	N/A			
Defense	404			SS1_00711602	SS1_00711602	Email	6/16/10	Ross McLellan, Chris Carlin, Tom Bryant et al.	Phil Jung	
Defense	405			SS1_00711603	SS1_00711603	File	6/16/10			
Defense	406			SS1_00418567	SS1_00418569	Email & Attachment	6/17/10	Ross McLellan, David Puth et al.	Patrick Joseph Keogh II	
Defense	407			SS1_00419531	SS1_00419533	Email & Attachment	6/18/10	Ross McLellan, David Puth et al.	Patrick Joseph Keogh II	
Defense	408			SS1_00768636	SS1_00768636	Email	6/21/10	Ross McLellan, Chris Carlin, Tom Bryant et al.	Phil Jung	
Defense	409			SS1_00768637	SS1_00768637	File	6/21/10			
Defense	410			SS1_00641392	SS1_00641394	Email & Attachment	6/29/10	Ross McLellan, David Puth et al.	Patrick Joseph Keogh II	
Defense	411			SS1_00641396	SS1_00641398	Email & Attachment	6/30/10	Ross McLellan, David Puth et al.	Patrick Joseph Keogh II	
Defense	412			SS1_00635521	SS1_00635523	Email & Attachment	11/3/10	Ross McLellan, David Puth et al.	Pamela Mattson	
Defense	413			SS1_00635525	SS1_00635528	Email & Attachment	11/4/10	Ross McLellan, David Puth et al.	Pamela Mattson	
Defense	414			SS1_00635529	SS1_00635529	File	11/4/10			

Defense	415			SS1_00154681	SS1_00154683	Email	2/25/11	David Puth, Mark Snyder et al.	David Flight	
Defense	416			SS1_00154684	SS1_00154684	File	2/25/11			
Defense	417			SS1_00223867	SS1_00223867	Email	2/28/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	418			SS1_00223868	SS1_00223868	File	2/28/11			
Defense	419			SS1_00123104	SS1_00123104	Email	3/1/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	420			SS1_00229390	SS1_00229391	Email & Attachment	3/2/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	421			SS1_00224447	SS1_00224448	Email & Attachment	3/3/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	422			SS1_00224449	SS1_00224450	Email & Attachment	3/4/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	423			SS1_00224451	SS1_00224452	Email & Attachment	3/7/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	424			SS1_00224453	SS1_00224454	Email & Attachment	3/8/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	425			SS1_00224455	SS1_00224456	Email & Attachment	3/9/11	Ross McLellan, Edward Pennings et al.	Theresa Gomes	
Defense	426			SS1_00224467	SS1_00224468	Email & Attachment	3/17/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	427			SS1_00224469	SS1_00224470	Email & Attachment	3/18/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	428			SS1_00230391	SS1_00230392	Email & Attachment	3/21/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	429			SS1_00230395	SS1_00230396	Email & Attachment	3/23/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	430			SS1_00231643	SS1_00231644	Email & Attachment	3/24/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	431			SS1_00230397	SS1_00230398	Email & Attachment	3/25/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	432			SS1_00230399	SS1_00230400	Email & Attachment	3/28/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	433			SS1_00230401	SS1_00230402	Email & Attachment	3/29/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	434			SS1_00230403	SS1_00230404	Email & Attachment	3/30/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	435			SS1_00222660	SS1_00222661	Email & Attachment	3/31/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	436			SS1_00124768	SS1_00124769	Email & Attachment	4/7/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	437			SS1_00124393	SS1_00124394	Email & Attachment	4/8/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	438			SS1_01193789	SS1_01193790	Email & Attachment	4/11/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	439			SS1_00210432	SS1_00210433	Email & Attachment	4/12/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	440			SS1_01193793	SS1_01193794	Email & Attachment	4/13/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	441			SS1_01193795	SS1_01193796	Email & Attachment	4/14/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	442			SS1_00124770	SS1_00124771	Email & Attachment	4/15/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	

Defense	443			SS1_01176300	SS1_01176301	Email & Attachment	4/18/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	444			SS1_01176302	SS1_01176303	Email & Attachment	4/19/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	445			SS1_01176304	SS1_01176305	Email & Attachment	4/20/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	446			SS1_01176306	SS1_01176307	Email & Attachment	4/21/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	447			SS1_01176308	SS1_01176309	Email & Attachment	4/25/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	448			SS1_01176310	SS1_01176311	Email & Attachment	4/26/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	449			SS1_01176312	SS1_01176313	Email & Attachment	4/27/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	450			SS1_01176314	SS1_01176315	Email & Attachment	4/28/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	451			SS1_01176316	SS1_01176317	Email & Attachment	4/29/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	452			SS1_00128908	SS1_00128909	Email & Attachment	5/2/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	453			SS1_01176691	SS1_01176692	Email & Attachment	5/3/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	454			SS1_01198053	SS1_01198054	Email & Attachment	5/4/11	Ross McLellan, Edward Pennings et al.	Theresa Gomes	
Defense	455			SS1_01198055	SS1_01198056	Email & Attachment	5/5/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	456			SS1_01198057	SS1_01198058	Email & Attachment	5/6/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	457			SS1_01197697	SS1_01197698	Email & Attachment	5/9/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	458			SS1_01198059	SS1_01198060	Email & Attachment	5/10/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	459			SS1_00216817	SS1_00216818	Email & Attachment	5/11/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	460			SS1_00216819	SS1_00216820	Email & Attachment	5/12/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	461			SS1_00216821	SS1_00216822	Email & Attachment	5/13/11	Ross McLellan, Edward Pennings et al.	Theresa Gomes	
Defense	462			SS1_00216823	SS1_00216824	Email & Attachment	5/16/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	463			SS1_00216825	SS1_00216826	Email & Attachment	5/17/11	Ross McLellan, Edward Pennings et al.	GM Finance Reporting	
Defense	464			N/A	N/A	File	N/A	N/A	N/A	
Defense	465			SS1_00600889	SS1_00600889	Email	5/20/10	Peter Economou et al.	Ross McLellan	
Defense	476			SS1_00196353	SS1_00196369	Email & Attachment	6/30/10	Anandoth Poyil Krishnadasan et al.	Rick Boomgaardt	
Defense	466			SS1_00196027	SS1_00196071	Email & Attachment	7/6/10	Roul Haerden et al.	Rick Boomgaardt	
Defense	467			SS1_00648300	SS1_00648305	Email	8/6/10	Bryan Woodard	Ross McLellan	
Defense	468			SS2_00000144	SS2_00000145	Email	11/2/10	Ross McLellan, Edward Pennings, Chris Carlin	Tom Bryant	
Defense	469			SS2_00000143	SS2_00000143	Email	11/2/10	Edward Pennings, Ross McLellan, Chris Carlin	Tom Bryant	

Defense	470			SS1_01327241	SS1_01327241	File	11/2/10	N/A	N/A	
Defense	471			SS2_00000150	SS2_00000202	Email & Attachments	11/2/10	Ross McLellan	Edward Pennings	
Defense	472			SS2_00000210	SS2_00000210	Email	11/2/10	Ross McLellan	Edward Pennings	
Defense	473			SS2_00000234	SS2_00000236	Email	11/3/10	Edward Pennings	Ross McLellan	
Defense	474			SS2_00000231	SS2_00000233	Email	11/3/10	Ross McLellan	Edward Pennings	
Defense	475			SS2_00000237	SS2_00000240	Email	11/3/10	Ross McLellan	Edward Pennings	
Defense	476			SS1_00667117	SS1_00667117	Email	11/3/10	Anandoth Poyil Krishnadasan	Edward Pennings	
Defense	477			SS1_00502479	SS1_00502498	Email & Attachment	11/18/10	Anandoth Poyil Krishnadasan et al.	Adnan Choudhary	
Defense	478			SS1_00620776	SS1_00620817	File	N/A	N/A	N/A	
Defense	479			SS1_00758624	SS1_00758624	Email	4/6/11	Chris Carlin, Christopher Murphy	Ross McLellan	
Defense	480			SS1_00471414	SS1_00471428	Email & Attachment	4/7/11	Killian Buckley et al.	Rick Boomgaardt	
Defense	481			SS1_00128931	SS1_00128931	File	6/1/11			
Defense	482			SS_SEC_MCL000004874	SS_SEC_MCL000005237	File	N/A			
Defense	483			SS_SEC_MCL000001888	SS_SEC_MCL000002279	File	N/A			
Defense	484			SS_SEC_MCL000001868	SS_SEC_MCL000001571	File	N/A			
Defense	485			SS1_01346473	SS1_01346474	Email & Attachment	2/3/11	Rick Boomgaardt	Chris Carlin	
Defense	486			SS1_00226564	SS1_00226568	Email & Attachment	2/24/11	Tom Bryant, Ian Holden, Ross McLellan et al.	Chris Carlin	
Defense	487			SS1_00500497	SS1_00500499	Email & Attachment	6/17/10	Ross McLellan, Edward Pennings, Tom Bryant et al.	Chris Carlin	
Defense	488			SS1_00217613	SS1_00217616	Email & Attachment	5/6/11	Ross McLellan, Edward Pennings, Tom Bryant et al.	Chris Carlin	
Defense	489			SS3_000047095	SS3_000047542	File	N/A			
Defense	490			AXAStateStreetEmail34231	AXAStateStreetEmail34231	Email	3/24/11	Carla Byer, Brian Walsh, James Kelly	Kristen Morris	
Defense	491			AXAStateStreetEmail00043	AXAStateStreetEmail00055	Email Attachment	N/A			
Defense	492			SS1_00275242	SS1_00275243	Email	3/1/11	Ross McLellan, Kevin Walker	Peter Weiner	
Defense	493			SS1_00275660	SS1_00275666	Email	3/2/11	Account-service-ssgm et al.	Kristen Morris	
Defense	494			SS1_00586205	SS1_00586206	Email	3/18/11	Kevin Walker	Ross McLellan	
Defense	495			SS1_00275041	SS1_00275043	Email	2/22/11	Ross McLellan	Kevin Walker	
Defense	496			SS1_00273649	SS1_00273649	Email	3/1/11	Ross McLellan, Kevin Walker et al.	Chris Carlin	
Defense	497			AXA-SSB-000494	AXA-SSB-000498	File	N/A			
Defense	498			SS3_000054535	SS3_000054626	File	N/A			
Defense	499			SS3_000060557	SS3_000060557	File	N/A			

Defense	500			SS3_000046421	SS3_000046421	Email	10/3/11	Trading Solutions et al.	Allyson O'Connor	
Defense	501			SS1_01123848	SS1_01123848	Email	8/30/11	Jack Ho, Niall O'Sullivan	Marc Littlewood	
Defense	502			SS1_00732870	SS1_00732870	Email	6/2/11	Paul Gallagher, Michael Mahoney et al.	Christopher Martin	
Defense	503			SS1_01198238	SS1_01198241	Email	5/4/11	Rick Boomgaardt, Cassie Waller et al.	Raymond Pestana	
Defense	504			SS1_00460089	SS1_00460089	Email	5/30/11	Edward Pennings, Rick Boomgaardt	Faheem Malik	
Defense	505			SS1_01157292	SS1_01157293	Email and Attachment	6/16/11	Edward Pennings, Rick Boomgaardt et al.	Killian Buckley	
Defense	506			SS1_01165632	SS1_01165632	Email and Attachment	6/22/11	Edward Pennings, Lachlan French et al.	Anadoth Poyil Krishnadasan	
Defense	507			SS1_00077222	SS1_00077222	Email	10/30/11	Edward Pennings, Lachlan French et al.	Anadoth Poyil Krishnadasan	
Defense	508			SS1_00075059	SS1_00075060	Email	3/3/11	Edward Pennings, Rodney Ringrow	Anadoth Poyil Krishnadasan 1	
Defense	509			SS1_00553373	SS1_00553373	Email	2/15/11	Edward Pennings, Lachlan French et al.	Anadoth Poyil Krishnadasan	
Defense	510			SS1_00073667	SS1_00073667	Email	12/20/10	Edward Pennings, Michael Gardner et al.	Anadoth Poyil Krishnadasan	
Defense	511			SS3_000055445	SS3_000055445	Email	4/7/11	Thomas McNichol	Kevin Walker	
Defense	512			SS3_000050625	SS3_000050625	Email	3/8/2011	Kristen Morris, Allen Kwong	Michael Brunell	
Defense	513			SS3_000046340	SS3_000046342	Email	3/1/11	Michael Brunnell, Christoher Baker et al.	Renee Isberg	
Defense	514			SS3_000046325	SS3_000046325	Email	3/1/11	Michael Brunnell, Christoher Baker et al.	Renee Isberg	
Defense	515			SS3_000046240	SS3_000046241	Email and Attachment	8/2/11	Chris Carlin, Kevin Miller	Jason Lawrence	
Defense	516			SS3_000046180	SS3_000046180	Email	3/10/11	William Andrade	Kristen Morris	
Defense	517			SS3_000054370	SS3_000054390	File	N/A			
Defense	518			SS1_01357792	SS1_01357792	Email	3/2/11	Chris Carlin, Kevin Walker et al.	Thomas McNichol	
Defense	519			SS1_01357793	SS1_01357795	Email	3/4/11	Kristen Morris	Chris Carlin	